

FORM PTO-1390

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  
**TRANSMITTAL LETTER TO THE UNITED STATES**  
 DESIGNATED/ELECTED OFFICE (DO/EO/US)  
 CONCERNING A FILING UNDER 35 U.S.C. 371

ATTORNEY DOCKET NUMBER  
**IOMC-0039**

U.S. APPLICATION NO. (if known see 37 C.F.R. 1.5)  
**09/763,014**

INTERNATIONAL APPLICATION NO.  
**PCT/JP00/03911**

INTERNATIONAL FILING DATE  
**15 June 2000**

PRIORITY DATE CLAIMED  
**18 June 1999**

**TITLE OF INVENTION CARD-TYPE MAGNETIC RECORDING DEVICE**

**APPLICANT(S) FOR DO/EO/US Maki WAKITA, Katsutoshi MUKAIJIMA and Shoji TAKAHASHI**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) 35 U.S.C. 371(c)(4).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16. below concern other document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:
  - A copy of the Notification of Missing Requirements dated March 7, 2001.
  - Petition for Extension of Time.
  - Associate Power of Attorney.

**06/04/2001 MNGUYEN 00000087 09763014**

**01 FC:154**

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**Date of Deposit: May 29, 2001**

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

MAILER

SIGNATURE

**John Hill**

U.S. APPLICATION NO. (if known 37 C.F.R. 1.5)  
09/763,014

INTERNATIONAL APPLICATION NO.  
PCT/JP00/03911

ATTORNEY DOCKET NUMBER  
IOMC-0039

17.    The following fees are submitted:

**Basic National Fee (37 CFR 1.492(a)(1) - (5)):**

Neither international preliminary examination fee (37 CFR 1.482)  
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO  
and International Search Report not prepared by the EPO or JPO.....\$1,000.00

International preliminary examination fee (37 CFR 1.482 not paid to USPTO  
but International Search Report has been prepared by the EPO or JPO.....\$860.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but  
international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....\$710.00

International preliminary examination fee paid to USPTO (37 CFR 1.482) but  
all claims did not satisfy provisions of PCT Article 33(1)-(4).....\$690.00

International preliminary examination fee paid to USPTO (37 CFR 1.482) and  
all claims satisfied provisions of PCT Article 33(1)-(4).....\$100.00

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

Surcharge of \$130.00 for furnishing the oath or declaration later than   X   20    30 months from  
the earliest claimed priority date (37 CFR 1.492(e)).

Claims	Number Filed	Number Extra	Rate
Total claims	12- 20 =	0	X \$18.00
Independent Claims	1- 3 =	0	x \$80.00
Multiple dependent claims(s) (if applicable)			+ \$270.00

**TOTAL OF ABOVE CALCULATIONS =**

       Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are  
reduced by 1/2.

**SUBTOTAL =**

Processing fee of \$130.00 for furnishing the English translation later than    20    30 months  
from the earliest claimed priority date (37 CFR 1.492(f)).

**TOTAL NATIONAL FEE =**

Fee for Petition for Extension of Time (2 months)

**TOTAL FEES ENCLOSED =**

Amount to be: refunded	\$
charged	\$

a.   X   A check in the amount of \$ 520.00 to cover the above fee is enclosed.

b.        Please charge my Deposit Account No. 23-3050 in the amount of \$        to cover the above fees. A duplicate copy of this sheet is enclosed.

c.   X   The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account  
No. 23-3050. A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must  
be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

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Woodcock Washburn Kurtz  
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One Liberty Place - 46th Floor  
Philadelphia, PA 19103  
(215) 568-3100

Frank T. Carroll  
SIGNATURE

Frank T. Carroll  
NAME

42,392  
REGISTRATION NUMBER

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MAR 09 2001

Woodcock Anderson Kurtz  
Markusson & Morris LLP

UNITED STATES DEPARTMENT OF COMMERCE

Patent and Trademark Office

Address: ASSISTANT COMMISSIONER FOR PATENTS

Box PCT

Washington, D.C. 20231

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/763014	WAKITA	M 10MC-0039
INTERNATIONAL APPLICATION NO.		
PCT/JP00/03911		
I.A. FILING DATE	PRIORITY DATE	
15 JUN 00	18 JUN 99	
DATE MAILED: 07 MAR 2001		

MICHAEL J SWOPE  
ONE LIBERTY PLACE 46TH FLOOR  
PHILADELPHIA, PA 19103

## NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as

- ☒ a Designated Office (37 CFR 1.494),  
☐ an Elected Office (37 CFR 1.495);

☒ U.S. Basic National Fee.☒ Copy of the international application in:

- ☒ a non-English language.  
☐ English.

☒ Translation of the international application into English.☐ Oath or Declaration of inventors(s) for DO/EO/US.☐ Copy of Article 19 amendments.☐ Translation of Article 19 amendments into English.☐ The International Preliminary Examination Report in English and its Annexes, if any.☐ Translation of Annexes to the International Preliminary Examination Report into English.☐ Preliminary amendment(s) filed \_\_\_\_\_ and \_\_\_\_\_.☐ Information Disclosure Statement(s) filed \_\_\_\_\_ and \_\_\_\_\_.☐ Assignment document.☐ Power of Attorney and/or Change of Address.☐ Substitute specification filed \_\_\_\_\_.☐ Verified Statement Claiming Small Entity Status.☒ Priority Document.☒ Copy of the International Search Report ☒ and copies of the references cited therein.☒ Other: 3062. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:☐ a. Translation of the application into English. Note a processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).☒ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the international application number and international filing date.☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).3. Additional claim fees of \$270 \_\_\_\_\_ as a ☒ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due. See attached PTO-875.**ALL OF THE ITEMS SET FORTH IN 2(a)-2(d) AND 3 ABOVE MUST BE SUBMITTED WITHIN ONE MONTH FROM THE DATE OF THIS NOTICE OR BY ☒ 21 OR ☐ 31 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

4. Translation of the Annexes **MUST** be submitted no later than the time period set above or the annexes will be cancelled. Note processing fee will be required if submitted later than 30 months from the priority date.5. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

**A copy of this notice *MUST* be returned with this response.**

Enclosed:

☐ PCT/DO/EO/917☐ Notice of Defective Translation☐ PTO-875

FORM PCT/DO/EO/905 (December 1997)

John L. Anderson

Telephone: 703-308-9116

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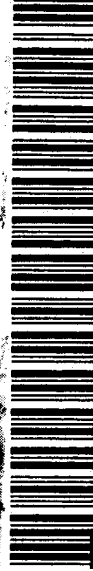
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